

MAIL ROOM DATE 4/27/10

Atty Dkt. No. 942757-278580

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Kauffman, et al. Confirmation No.: 6805  
Appl No.: 09/868,981 Group Art Unit: 3692  
Filed: June 25, 2002 Examiner: Lindsay M. Maguire  
Title: A SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION  
OF ECONOMIC MARKETS

**COMMUNICATION REGARDING REFUND**

Mail Stop 16  
Attention: Refund Branch  
Director of the US Patent & Trademark Office  
PO Box 1450  
Alexandria, VA 22313-1450

USPTO  
2011 SEP 27 PM 1:25

Sir/Madam:

During an internal audit, it has come to our attention that the refund issued by the U.S. Patent and Trademark Office on April 28, 2010, in the above-referenced application was in error. The refund requested by our office on April 19, 2010, was in the amount of \$755 to reflect the change in entity status from large to small entity. Instead, as evidenced by the attached, our office was refunded the entire \$1,510 issue fee.

Further, we have reviewed our Deposit Account statements from April, 2010, to the present and have determined that the correct issue fee in the amount of \$755 has never been recollected by the USPTO through our Deposit Account.

In support of the above summary, we attach copies of the original \$1,510 issue fee payment along with the EFT receipt, our Request for Refund of \$755 with Change of Entity Status and EFT receipt for the same, a copy of the Request for Refund as date stamped by the Accounting Office of the USPTO on April 20, 2010, and a copy of the Monthly Statement of Deposit Account for April, 2010, showing the \$1,510 refund for U.S. Application No. 09/868,981.

09/28/2011 BLINDSEY 00000001 09063381

01 FEB 2011

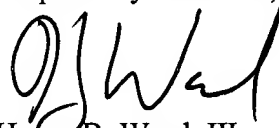
755.00 00

We have tried to resolve this matter with the Office of Accounting but have had no success. Our telephone calls have been received, with information taken, but with no further follow-up by USPTO personnel.

To clear our internal accounting records and to correct the error made by the USPTO through our Deposit Account on April 28, 2010, we are enclosing our check in the amount of \$755.

It is believed that this payment of \$755 will resolve the above matter. Please contact our office should anything further be required.

Respectfully submitted,

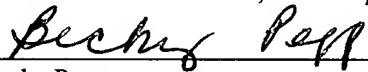


Henry B. Ward, III  
Registration No. 42,212

**CUSTOMER NUMBER 24239**  
**MOORE & VAN ALLEN PLLC**  
430 Davis Drive, Suite 500  
Post Office Box 13706  
Research Triangle Park, NC 27709  
Tel Charlotte Office (704) 331-1027  
Fax Charlotte Office (704) 339-5800

"Express Mail" mailing label number **EG 571874822 US**  
Date of Deposit September 23, 2011

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:  
Commissioner for Patents, Mail Stop 16, Refund Branch, P.O. Box 1450, Alexandria, VA 22313-1450

  
\_\_\_\_\_  
Becky Pegg

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	7183056
<b>Application Number:</b>	09868981
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6805
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION OF ECONOMIC MARKETS
<b>First Named Inventor/Applicant Name:</b>	Stuart A. Kauffman
<b>Customer Number:</b>	24239
<b>Filer:</b>	Henry B. Ward/April Dunnican
<b>Filer Authorized By:</b>	Henry B. Ward
<b>Attorney Docket Number:</b>	942757-278580
<b>Receipt Date:</b>	10-MAR-2010
<b>Filing Date:</b>	25-JUN-2002
<b>Time Stamp:</b>	17:18:50
<b>Application Type:</b>	U.S. National Stage under 35 USC 371

### Payment information:

Submitted with Payment	yes
Payment Type	Electronic Funds Transfer
Payment was successfully received in RAM	\$ 1510
RAM confirmation Number	3501
Deposit Account	
Authorized User	

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Issue Fee Payment (PTO-85B)	942757-278580ISSUEFEE.pdf	190771 ed72d86bea6fd728ce5c8ee4242bde96db89b14b	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Fee Worksheet (PTO-875)	fee-info.pdf	30300 e0009f3c1408dec559251b15dbf00f1d6f8c7c87	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			221071		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  <b>If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</b></p>					

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop ISSUE FEE  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 or **Fax** (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address, and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

24239 7590 12/11/2009

MOORE & VAN ALLEN PLLC  
 P.O. BOX 13706  
 Research Triangle Park, NC 27709

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/868,981	06/25/2002	Stuart A. Kauffman	942757-278580	6805

TITLE OF INVENTION: SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION OF ECONOMIC MARKETS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$0	\$0	\$1510	03/11/2010

EXAMINER	ART UNIT	CLASS-SUBCLASS
MAGUIRE, LINDSAY M	3693	705-036000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 Henry B. Ward, III

2 Moore & Van Allen

3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

NuTech Solutions, Inc.

(B) RESIDENCE: (CITY AND STATE OR COUNTRY)

26 Forest Street, Marlborough, MA 01752

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☒ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☒ Payment by credit card. Form PTO-5038 is attached. Electronic Funds Transfer
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 24239 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered attorney or agent, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

Date March 10, 2010

Typed or printed name Henry B. Ward, III

Registration No. 42,212

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	7441820
<b>Application Number:</b>	09868981
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6805
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION OF ECONOMIC MARKETS
<b>First Named Inventor/Applicant Name:</b>	Stuart A. Kauffman
<b>Customer Number:</b>	24239
<b>Filer:</b>	Christopher William McAvoy/Becky Pegg
<b>Filer Authorized By:</b>	Christopher William McAvoy
<b>Attorney Docket Number:</b>	942757-278580
<b>Receipt Date:</b>	19-APR-2010
<b>Filing Date:</b>	25-JUN-2002
<b>Time Stamp:</b>	16:23:38
<b>Application Type:</b>	U.S. National Stage under 35 USC 371

### Payment information:

Submitted with Payment		no			
File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	942757-278580ChangeEntityStatus.pdf	85727	no	1
			67d866376c1c3985f13d3d1dde6087e8522d0072		
Warnings:					
Information:					

2	Refund Request	942757-278580RequestForRefund.pdf	87032 675d83bc345a3f2813a62a615851dcd5f3b2c517	no	2
<b>Warnings:</b>					
<b>Information:</b>					
Total Files Size (in bytes):				172759	
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>          If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>          If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>          If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					

Atty Dkt. No. 942757-278580

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re:	Kauffman, et al.	Confirmation No.: 3692
Appl No.:	09/868,981	Group Art Unit: 3692
Filed:	June 25, 2002	Examiner: Lindsay M. Maguire
Title:	A SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION OF ECONOMIC MARKETS	

**REQUEST FOR REFUND IN U.S. PATENT APPLICATION NO. 09/868,981**

Mail Stop 16  
Attention: Refund Branch  
Director of the US Patent & Trademark Office  
PO Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

The issue fee for the above-referenced application was electronically filed and paid by electronic fund transfer (EFT) on March 11, 2010 at the large entity rate of \$1,510.

The issue fee was calculated at the "Large Entity" rate. Subsequent to this payment of the issue fee, it has come to our attention that fees for this application should have been calculated using the status of "Small Entity", thereby reducing the issue fee to \$755.

The change of entity status is being filed concurrently with this Request for Refund on April 19, 2010.

In light of the above, the applicant respectfully requests that the Commissioner refund the amount of **\$755** to our Deposit Account No. 13-4365 in the name of Moore & Van Allen PLLC.



If any other issues remain outstanding or if further documentation is required, the Office is respectfully requested to contact the undersigned at 704-331-1027, so that such issues may be promptly resolved.

Respectfully submitted,

/Henry B. Ward, III/

Henry B. Ward, III  
Registration No. 42,212

**CUSTOMER NUMBER 24239**  
**MOORE & VAN ALLEN PLLC**  
430 Davis Drive, Suite 500  
Post Office Box 13706  
Research Triangle Park, NC 27709  
Tel Charlotte Office (704) 331-1027  
Fax Charlotte Office (704) 339-5800

Electronically filed via the EFS-Web Electronic Filing System of the United States Patent and Trademark Office on April 19, 2010.

Atty Dkt. No. 942757-278580

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re:	Kauffman, et al.	Confirmation No.: 3692
Appl No.:	09/868,981	Group Art Unit: 3692
Filed:	June 25, 2002	Examiner: Lindsay M. Maguire
Title:	A SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION OF ECONOMIC MARKETS	

**NOTICE OF CHANGE OF STATUS FROM LARGE TO SMALL ENTITY FOR  
U.S. PATENT APPLICATION NO. 09/868,981**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

This Notice of Change of Status is submitted to notify the Patent and Trademark Office that the assignee of the subject patent application has concluded that they are presently a Small Entity interest under 37 CFR §1.27.

The issue fee for this granted application was paid on March 11, 2010 at the large entity rate of \$1,510, prior to confirmation that the subject patent application qualifies as a small entity. Accordingly, a request for refund of \$755 has been submitted under separate cover to refund excess fees paid due to the overpayment of the issue fee for a large entity versus a small entity.

Respectfully submitted,

/Henry B. Ward, III/

Henry B. Ward, III  
Registration No. 42,212

**CUSTOMER NUMBER 24239**  
**MOORE & VAN ALLEN PLLC**  
430 Davis Drive, Suite 500  
Post Office Box 13706  
Research Triangle Park, NC 27709  
Tel Charlotte Office (704) 331-1027  
Fax Charlotte Office (704) 339-5800

Electronically filed via the EFS-Web Electronic Filing System of the United States Patent and Trademark Office on **April 19, 2010**.

2010 APR 20 PM 4:21

Atty Dkt. No. 942757-278580

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Kauffman, et al. Confirmation No.: 3692  
Appl No.: 09/868,981 Group Art Unit: 3692  
Filed: June 25, 2002 Examiner: Lindsay M. Maguire  
Title: A SYSTEM AND METHOD FOR THE ANALYSIS AND PREDICTION  
OF ECONOMIC MARKETS

## REQUEST FOR REFUND IN U.S. PATENT APPLICATION NO. 09/868,981

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The issue fee was calculated at the "Large Entity" rate. Subsequent to this payment of the issue fee, it has come to our attention that fees for this application should have been calculated using the status of "Small Entity", thereby reducing the issue fee to \$755.

The change of entity status is being filed concurrently with this Request for Refund on April 19, 2010.

In light of the above, the applicant respectfully requests that the Commissioner refund the amount of \$755 to our Deposit Account No. 13-4365 in the name of Moore & Van Allen PLLC.

If any other issues remain outstanding or if further documentation is required, the Office is respectfully requested to contact the undersigned at 704-331-1027, so that such issues may be promptly resolved.

Respectfully submitted,

/Henry B. Ward, III/

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Registration No. 42,212

**CUSTOMER NUMBER 24239**  
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430 Davis Drive, Suite 500  
Post Office Box 13706  
Research Triangle Park, NC 27709  
Tel Charlotte Office (704) 331-1027  
Fax Charlotte Office (704) 339-5800

Electronically filed via the EFS-Web Electronic Filing System of the United States Patent and Trademark Office on April 19, 2010.



## UNITED STATES PATENT AND TRADEMARK OFFICE

United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450  
www.uspto.gov

## MONTHLY STATEMENT OF DEPOSIT ACCOUNT

To replenish your deposit account, detach and return top portion  
with your check. Make checks payable to "Director of the USPTO."

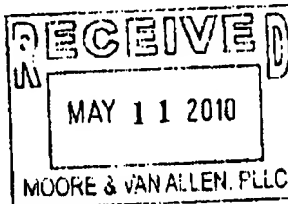
MOORE & VAN ALLEN, PLLC--PATENT DIVISION FINA  
JOANNA K. JOSLYN  
430 DAVIS DRIVE  
SUITE 500  
MORRISVILLE NC 27560

Account No.	134365
Date	4-30-10
Page	1

PLEASE SEND REMITTANCES TO:  
U.S. Patent and Trademark Office  
P.O. Box 979085  
St. Louis, MO 63197-9000

Call the Deposit Account Branch at 671-272-6500 for assistance.

DATE POSTED			CONTROL NO.	DESCRIPTION (Serial, Patent, TM, Order)	DOCKET NO.	FEE CODE	CHARGES/ CREDITS	BALANCE
4	5	10	5	10708526	019779-PU03 0142US1.078	1806	180.00	14173.50
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4	27	10	3	10837692	014881-000901	1201	220.00	15841.50
4	27	10	7	12669378	1076USD1V1.014033.183	1814	140.00	15701.50
4	28	10	2	09868981	021074-014	9204	-100.00	15801.50
4	28	10	10	11163613	942757-278580	9204	-1510.00	17311.50
4	29	10	2	12670666	PU05 0263US1.190	1201	220.00	17091.50
4	30	10	1	12015116	020884-000093	2617	65.00	17026.50
					026228-00L2513SR	2251	65.00	16961.50



AN AMOUNT SUFFICIENT TO  
COVER ALL SERVICES REQUESTED  
MUST ALWAYS BE ON DEPOSIT

OPENING BALANCE	TOTAL CHARGES	TOTAL CREDITS	CLOSING BALANCE
14353.50	2722.00	5330.00	16961.50